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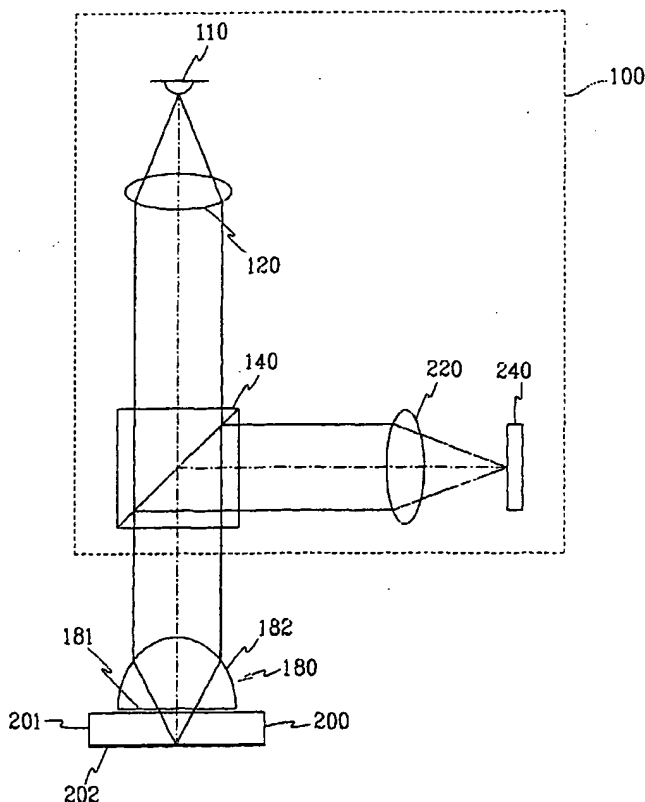
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(54) Title: OPTICAL PICKUP APPARATUS FOR READ-WRITE HEADS IN HIGH DENSITY OPTICAL STORAGE



(57) Abstract: An optical pickup apparatus for recording or reproducing data on a signal recording surface of a high-density optical medium that has the signal recording surface and at least one substrate is disclosed. The apparatus has an optical module for generating and emitting beams and receiving reflected beams from an optical medium; and a solid immersion lens (SIL) arranged on an optical path between the optical module and the optical medium, having a first surface being planar and facing the substrate of the optical medium, and a second surface being aspherical and facing the optical module, so that the SIL may be nearly in contact with the substrate of the optical medium. The beams from the optical module enter the SIL, and are then focused through the substrate onto the signal recording surface without a condenser objective lens. When collimated beams are emitted from the optical module and a refractive index of the SIL is identical with that of the substrate of the optical recording medium, the second surface of the SIL is an ellipsoidal surface. When divergent beams are emitted from the optical module and a refractive index of the SIL is identical with that of the substrate of the optical recording medium, the second surface of the SIL is a Cartesian oval.

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## OPTICAL PICKUP APPARATUS FOR READ-WRITE HEADS IN HIGH DENSITY OPTICAL STORAGES

### BACKGROUND OF THE INVENTION

#### (a) FIELD OF THE INVENTION

5           The present invention relates to an optical pickup apparatus for recording or reproducing optical media such as optical disks, and more particularly, to an optical pickup apparatus that is close to an optical medium to obtain near-field effect for high density recording or reproduction.

#### (b) DESCRIPTION OF THE RELATED ART

10           Recently, optical media such as optical and magneto-optical discs have been developed to have high-density storage, to be used for computer storage, package media for music and images, and so forth. In order to obtain high-density storage, it is desirable to reduce the light spot size of the optical pickup apparatus. The light spot size is proportional to the  
15           wavelength of the light, and inversely proportional to the numerical aperture of an objective lens system. Therefore, many proposals to reduce the wavelength of the light as well as to increase the numerical aperture of the objective lens system have been suggested.

          In order to increase the numerical aperture of the objective lens

system, a proposal suggested in U.S. Patent No. 5,125,750 uses a solid immersion lens (SIL) that may come close to a signal recording surface of the optical disc, as shown in Fig. 10. In the pickup apparatus of Fig. 10, a light source 10 of a laser diode generates laser beams that pass through a collimator lens 12 to become collimated beams. The collimated beams pass through a beamsplitter 14 and then enter an objective lens system having a condenser objective lens 16 and a SIL 18. The condenser objective lens 16 condenses the collimated light onto the SIL 18, and the SIL 18 functions to increase the numerical aperture to focus a light spot on a signal recording surface 19. The light then diffracts and reflects from the signal recording surface 19 back to the SIL 18, the condenser objective lens 16, and the beamsplitter 14. The light is reflected from the beamsplitter 14, it passes through the field lens 22, and then enters into a photodetector 24. The photodetector 24 demodulates the beams to reproduce the original signals.

15 The light is focused, through the condenser objective lens 16 and the SIL 18, into a light spot having a diameter  $d$  that is defined as follows:

$$d \sim w / (NA * n) = w / NA_{eff}$$

where  $w$  is a wavelength of the light,  $NA$  is a numerical aperture of the condenser objective lens system in air,  $NA_{eff}$  is an effective numerical aperture, and  $n$  is a refractive index of the SIL. The effective numerical aperture  $NA_{eff}$  is large resulting in very small light spot when an optical material having a large refractive index (generally 2.0 or larger) is used for a SIL.

However, since the prior art optical pickup apparatus use a SIL facing the signal recording surface 19 of the optical disc 20, the SIL 18 may collide with the optical disc 20, thereby allowing destruction of the signal recording surface. Further, it is highly possible for the apparatus or the optical disc to suffer chemical or physical deformation due to high heat caused by light spot radiation.

In order to overcome the above drawbacks, an optical pickup apparatus that collects light from a signal recording surface through a substrate of an optical recording medium has been proposed in Japanese Laid-open Publication No. JP8-221790. In the optical pickup apparatus that is as shown in Fig. 11, a SIL 18' faces toward a substrate 21 of an optical disc 20, rather than a signal recording surface 19. The SIL 18' has a planar surface facing the substrate 21, and a semi-spherical surface facing the condenser objective lens 16. A center of the semi-sphere lies on the signal recording surface 19 of the optical disc 20. Therefore, light, which has passed through the condenser objective lens 16, is focused on the signal recording surface 19 through the substrate 21 of the optical disc 20 by the SIL 18'.

The optical pickup apparatus shown in Fig. 11, however, has a restriction in that the SIL 18' has the same refractive index as the substrate with in range of 1.5-1.55.. SILs are generally made of highly refractive material having a refractive index of about 2.0, but the SIL 18' as shown in Fig. 11 has a refractive index of 1.5-1.55, which is less than the desired

refractive index, so it is difficult to obtain a high storage density.

The conventional optical pickup apparatus as shown in Fig. 10 or 11 additionally has a condenser objective lens 16 before the SIL 18 or 18', so that the apparatus becomes larger and more complex. Further, since the apparatus may be used under the condition that the refractive index of the SIL is the same as that of the substrate of the optical disc, it causes large aberrations of optics resulting in a degradation of the apparatus, as well as restriction in refractive material of the SIL.

### **SUMMARY OF INVENTION**

10 In view of the prior art described above, it is an object of the present invention to provide an optical pickup apparatus for a read/write optical head that has a single solid immersion lens as an objective lens system, thereby becoming simple and compact.

15 It is another object of the present invention to provide an optical pickup apparatus for a read/write optical head using an aspherical solid immersion lens facing a substrate of an optical recording medium, thereby enhancing durability of the apparatus as well as minimizing a light spot on the optical medium, and being easily manufactured and used.

20 To achieve the abovementioned objects, as embodied and broadly described herein, the invention comprises a optical module for generating and emitting beams and receiving reflected beams from an optical medium; and a solid immersion lens (SIL) arranged on an optical path between the

optical module and the optical medium, having a first surface being planar and facing the substrate of the optical medium, and a second surface being aspherical and facing the optical module, so that the SIL may be nearly in contact with the substrate of the optical medium.

5           The beams from the optical module enter the SIL, and are then focused through the substrate onto the signal recording surface without a condenser objective lens. When collimated beams are used which are emitted from the optical module and a refractive index of the SIL is identical with that of the substrate of the optical recording medium, the second surface  
10 of the SIL is an ellipsoidal surface. When divergent beams are used which are emitted from the optical module and a refractive index of the SIL is identical with that of the substrate of the optical recording medium, the second surface of the SIL is a Cartesian oval.

#### **BRIEF DESCRIPTION OF THE DRAWINGS**

15           Fig. 1 shows a first preferred embodiment of the present invention;

Fig. 2 illustrates an optical path of a ray in a solid immersion lens (SIL) and an optical disc of Fig. 1;

Fig. 3 illustrates optical paths in the SIL and the optical disc when a refractive index of the SIL is the same as that of the optical disc;

20           Fig. 4 shows an ellipsoidal surface of the SIL and coordinate axes of Fig. 3;

Fig. 5 shows a beam profile of a light spot on a signal recording

surface of the optical disc;

Fig. 6 shows a second preferred embodiment of the present invention;

Fig. 7 illustrates an optical path of a ray in a solid immersion lens (SIL) and an optical disc of Fig. 6;

Fig. 8 illustrates the shape of the SIL according to the second preferred embodiment when a refractive index of the SIL is the same as that of the optical disc;

Figs. 9a and 9b illustrate the second surface of the SIL;

Fig. 10 shows a prior art optical pick apparatus in which light directly enters a signal recording surface of an optical disc; and

Fig. 11 shows a prior art optical pick apparatus in which light enters a signal recording surface through a substrate of an optical disc.

#### **DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENTS**

The present invention will be described in detail with reference to the accompanying drawings. The present invention is intended to read or write information on various optical recording media such as compact discs (CDs), digital versatile discs (DVDs), mini discs (MDs), and magneto-optical discs, but it will be explained for an optical pickup apparatus for reading information from a high density optical disc on which information has already been written, for the purpose of easy explanation.

Referring first to Fig. 1, an optical pickup apparatus according to the



first preferred embodiment of the present invention is shown. The optical pickup apparatus comprises optical elements that may be depicted as parts of an optical module 100, such as a laser diode for a light source 110, a collimator lens 120, a beam splitter 140, a field lens 220, and a photodetector 240. Light beams emitted from the laser diode 110 are collimated by the collimator lens 120. The optical module 100 is similar to a prior art as shown in Fig. 10 or 11, but the optical pickup apparatus shown in Fig. 1 only has a SIL 180 as an objective lens system, and it is placed on an optical path between the optical module 100 and an optical disc 200.

10 The SIL 180 has a first surface 181 that is a plane and faces a substrate 201 of the optical disc 200 and is closely spaced therefrom, and a second surface 182 that is curved and faces the optical module 100.

The SIL 180 can be generally made of an optical material having a refractive index that is different from that of the substrate 201 of the optical disc. The material of the SIL 180 is preferably selected, however, from optical materials whose refractive index is the same to the substrate 201.

Referring now to Fig. 2, a general case in which the refractive index of the SIL is different from that of the substrate 201 of the optical disc will be described. Let us assume that an optical axis of the SIL 180 is designated a z-axis, as shown in Fig. 2, and a radial direction normal to the optical axis is designated an x-axis. When an optical path of a ray that is incident to the second surface 182 in the optical axis is the same as an optical path of another ray that enters parallel to the optical axis in an arbitrary radius (z, x),

a point image is formed from the parallel beams. Therefore, a coordinate (z, x) in the second surface 182 of the SIL 180 satisfies the following Formulas 1 and 2, where  $n_0$ ,  $n_1$ , and  $n_2$  are refractive indices of air, the SIL 180, and the substrate 201 of the optical disc 200, respectively;  $\theta_1$  and  $\theta_2$  are incident angles to the first surface 181 of the SIL and the signal recording surface 202 through the SIL 180, respectively; and  $t_1$  and  $t_2$  are thicknesses of the SIL 180 and the substrate 201, respectively. Although the formulas are represented by two-dimensional equations herein for the purpose of easy explanation, it is obvious for those ordinarily skilled in the art to make three-dimensional formulas by substituting  $x^2$  to  $x^2+y^2$ .

## FORMULA 1

$$n_0 z + \frac{n_1(t_1 - z)}{\cos \theta_1} + \frac{n_2 t_2}{\cos \theta_2} = n_1 t_1 + n_2 t_2$$

where

$$\theta_1 = \sin^{-1} \left( \frac{n_2 \sin \theta_2}{n_1} \right)$$

$\theta_1, \theta_2 < 90^\circ$

## FORMULA 2

$$x = t_2 \tan \theta_2 + (t_1 - z) \tan \theta_1$$

Since a numerical aperture NA of the SIL is set to  $n_2 \sin \theta_2$ , it is

possible to have a larger numerical aperture than one (1.0) by selecting a substrate material whose refractive index  $n_2$  is large. Therefore, a light spot on the signal recording surface 202 of the disc 200 is formed in a smaller size, so that the optical pickup apparatus according to the present invention may

5 read/write information in higher density storage.

Meanwhile, the following Formulas 3 and 4 are obtained when Formulas 1 and 2 are arranged for  $z$  and  $x$  in terms of a parameter  $\theta_2$ .

FORMULA 3

$$z = \frac{n_1 t_1 \left(1 - \frac{1}{\cos(\sin^{-1}(nr \sin \theta_2))}\right) + n_2 t_2 \left(1 - \frac{1}{\cos \theta_2}\right)}{n_0 - \frac{n_1}{\cos(\sin^{-1}(nr \sin \theta_2))}}$$

10 where  $nr = n_2 / n_1$ .

FORMULA 4

$$x = t_2 \tan \theta_2 + \left(t_1 - \frac{n_1 t_1 \left(1 - \frac{1}{\cos(\sin^{-1}(nr \sin \theta_2))}\right) + n_2 t_2 \left(1 - \frac{1}{\cos \theta_2}\right)}{n_0 - \frac{n_1}{\cos(\sin^{-1}(nr \sin \theta_2))}}\right) \tan(\sin^{-1}(nr \sin \theta_2))$$

A maximum incident angle  $\theta_{max}$  to the substrate of the optical disc is obtained using Formula 4 when the effective radius of the SIL is  $x_{max}$ .

15 The maximum numerical aperture is represented by  $n_2 \sin \theta_{max}$ , thereby being a function of the effective radius  $x_{max}$ .

For example, when the refractive index  $n_1$  and the thickness of the

SIL are 1.75 and 1.2 mm, respectively, and the refractive index  $n_2$  and the thickness of the substrate are 1.52 and 1.2 mm (for CDs), the effective radius and numerical aperture of the SIL are about 1.33 mm and 1.12, respectively. For a substrate thickness of 0.6 mm, the effective radius and numerical  
5 aperture of the SIL are about 1.025 mm and 1.3, respectively. For a substrate thickness of 0.3 mm, the effective radius and numerical aperture of the SIL are about 0.79 mm and 1.42, respectively.

Therefore, it is noted that the possible numerical aperture of the SIL is less than the refractive index  $n_2$  of the substrate of the optical disc. It is also  
10 noted that the lesser the thickness of the substrate, the larger the numerical aperture of the SIL with the same effective radius of the SIL.

For the above case, the storage capacity of the optical disc is proportional to a square of the numerical aperture (NA), so that storage of over 20 GB may be obtained for a DVD system using a 650 nm-wavelength  
15 light source, and storage of over 50 GB may be obtained for a 405 nm-wavelength light source.

Next, the case in which a SIL is made of an optical material having the same refractive index  $n_1$  as the substrate of the optical disc  $n_2$ , i.e.,  $n_1 = n_2$ , will be described.

20 When the refractive index  $n_1$  of the SIL 180 is the same as that of the substrate 201 of the optical disc, an incident ray hardly refracts at the interface between the first surface 181 and the substrate 201 of the optical disc, thereby forming a light spot on the signal recording surface 202 of the

optical disc as shown in Fig. 3. That is, when  $n_1$  is identical with  $n_2$ ,  $\theta_1$  is identical with  $\theta_2$ , thereby resulting in Formula 5, as follows:

FORMULA 5

$$n_0 z + n_1 \sqrt{x^2 + (z-a)^2} = n_1 a$$

5 where  $a = t_1 + t_2$ .

Formula 5 may be expressed as a conic equation, so that the second surface 182 of the SIL 180 is an ellipsoidal surface. Now, referring to Fig. 4, the ellipsoidal surface will be described.

First, let's assume that a vertex of the ellipsoidal surface of the SIL  
10 180 facing the optical module is an origin, the optical axis is a z-axis, a radial direction normal to the optical axis is an x-axis, a refractive index of the exterior is  $n_0$ , a refractive index of the interior of the ellipse is  $n_1$ , and a coordinate of an elliptical focus is  $a$ . The general equation of an ellipse is expressed by the following Formula 6. For the purpose of easy explanation,  
15 the formula is expressed as a two-dimensional equation, but those ordinarily skilled in the art may modify the formula to be three-dimensional, simply by substituting  $x^2 + y^2$  for  $x^2$ .

FORMULA 6

$$\frac{\left(z - a \frac{n_1}{n_1 + n_0}\right)^2}{\left(a \frac{n_1}{n_1 + n_0}\right)^2} + \frac{x^2}{a^2 \frac{n_1 - n_0}{n_1 + n_0}} = 1$$

(See R.K.Luneburg, Mathematical Theory of Optics, pp132-134)

When a semi-major axis of the ellipse is A, and a semi-minor axis of the ellipse is B, an equation for a general ellipse is defined as follows:

5 FORMULA 7

$$\frac{(z-A)^2}{A^2} + \frac{x^2}{B^2} = 1$$

The second surface 182 of the SIL 180 has a semi-major axis A and a semi-minor axis B that are given as follows:

FORMULA 8

$$A = a \frac{n1}{n1+n0}, B = a \sqrt{\frac{n1-n0}{n1+n0}}$$

10

where an eccentricity e of the ellipse is given by Formula 9.

FORMULA 9

$$e = a \frac{n0}{n1+n0}$$

Therefore, the ellipsoidal surface of the SIL 180 may be formed  
15 according to the refractive index n1 and the focal length of the ellipse.

In the meantime, an aspherical surface is generally expressed by the following general equation.

FORMULA 10

$$z = \frac{cx^2}{1 + \sqrt{1 - (k+1)c^2x^2}} + Dx^4 + Ex^6 + Fx^8 + \dots$$

where c represents a curvature of the surface, x represents a radius from a  
 5 z-axis, k represents a Conic constant, and D, E, F... represent fourth, sixth,  
 and eighth (and so forth) aspherical coefficients, respectively.

When the second surface 182 of the SIL 180 is an ellipsoidal surface  
 and is expressed by the Formula 10, curvature c and conic constant k are  
 expressed by the following Formula 11. The other aspherical coefficients (D,  
 10 E, F... ) are zero.

#### FORMULA 11

$$c = \frac{n1}{a(n1 - n0)}, k = -\frac{n0^2}{n1^2}$$

Next, the first surface 181 of the SIL 180 is placed on the plane E, as  
 shown in Fig. 4, which passes by the point (a-t) and is parallel to the x-axis,  
 15 since the signal recording surface 202 of the optical disc 200 is set to the  
 plane F, as shown in Fig 3, which passes by the point a and is parallel to  
 the x-axis.

The second surface (ellipsoidal surface) of the optical disc is defined  
 by Formula 6 or Formulas 10 and 11 when the refractive index and thickness

of the substrate of the optical disc are  $n_1$  and  $t$ , respectively. Further, the thickness of the SIL becomes  $(a-t)$ .

Therefore, light beams that enter in parallel into the SIL 180 having the aforementioned shape are exactly focused on the signal recording surface 202 on which the focus  $a$  of the ellipse lies.

The maximum numerical aperture  $NA_{\max}$  of the SIL 180 is defined as follows:

FORMULA 12

$$NA_{\max} = n_1 \frac{B}{\sqrt{e^2 + B^2}} = \sqrt{n_1^2 - n_0^2}$$

Accordingly, the effective numerical aperture NA of the SIL 180 has a value that ranges within  $NA \leq NA_{\max}$ .

For example, in the case of  $n_1=1.55$ ,  $n_0=1.0$ , the maximum value of the effective numerical aperture  $NA_{\max}$  becomes about 1.184, while in the case of  $n_1=1.50$ ,  $n_0=1.0$ , the maximum value of the effective numerical aperture  $NA_{\max}$  becomes about 1.118, thereby obtaining a higher effective numerical aperture than that of the prior art.

A lens holder for holding the SIL 180 supports its periphery at an area between a vertex on the minor axis of the ellipsoidal surface (the second surface) and the surface E (hatched portion of Fig. 4), so that the effectiveness of the light may be maximized.

Storage capacity is inversely proportional to the square of the light



spot size. In the case that a red laser diode (wavelength 650nm) is used for a light source in a DVD media system, high density data of about 18 GB storage may be read or written. For a blue laser diode (wavelength 405nm), higher density data of about 45GB may be read or written.

5           Now referring back to Fig. 1, an operation of the optical pickup of the first preferred embodiment will be described. The light source 110 of a laser diode generates laser beams that pass through the collimator lens 120 to become collimated beams. The collimated beams pass through the beam splitter 140 and then enter the SIL 180 and the substrate 201 of the optical  
10   disc to be focused on the signal recording surface 202 of the optical disc.

          The SIL 180 is nearly in contact with the optical disc 200, and even if an air gap exists between the SIL 180 and the disc 200, it merely becomes an order of magnitude of the wavelength of the light source, within the range of a few wavelengths of the light. Therefore, an extremely small light spot  
15   may be obtained on the signal recording surface. These characteristics are shown in Fig. 5, in which each curve represents a beam profile of the light spot. In the drawing, curve A is an ideal beam profile when a numerical aperture NA is 1.0, while curve B is a beam profile of a maximum numerical aperture  $NA_{max}=1.118$ , as calculated above when the air gap is about 1.0  
20   wavelength of the light. Curve C is a beam profile of a maximum numerical aperture  $NA_{max}=1.118$ , when the SIL comes in contact with the optical disc. It is noted that the entire optical system is not affected under the assumption that the SIL is in contact with the optical disc when the air gap is in the range

of a few wavelengths, conjecturing from the fact that curve *B* is nearly coincident with curve *C* in Fig. 5.

Even if the SIL 180 is not in perfectly contact with the optical disc 200 (i.e., the air gap exists), the light transmits through the gap by the quantum  
5 mechanic phenomenon, bearing no relation to the fact that an incident angle is a critical angle of total reflection. This is referred to as the near-field effect when using a solid immersion lens (See Eugene Hecht, Optics, Addison-Wesley Publishing Company, 2nd edition, pp107 -108).

Then, the focused light on the signal recording surface 202 diffracts  
10 or reflects from the surface 202, passes through the SIL 180, and then enters the beam splitter 140. The light is reflected from the beam splitter 140, enters the field lens 220, and then enters the photodetector 240. The photodetector 240 demodulates the incident light and reproduces information signals.

15 Referring now to Fig. 6, an optical pickup apparatus according to the second preferred embodiment will be described. The first preferred embodiment relates to an infinite optical system in which collimated light beams enters into a SIL, while the second preferred embodiment is directed to a finite optical system in which a divergent light enters into a SIL. The  
20 apparatus of the second preferred embodiment is similar to that of the first preferred embodiment as shown in Fig. 1 in that the apparatus comprises optical elements that may be depicted as parts of an optical module 300 such as a laser diode for a light source 110, a beam splitter 140, a field lens 220,

and a photodetector 240. In the apparatus of the second preferred embodiment, however, the diverging light from the laser diode of the light source 110 enters a SIL 380 through a beamsplitter without passing through a collimator lens. The condenser objective lens is also not used in the second preferred embodiment, as in the first preferred embodiment.

In the apparatus, the SIL 380 is placed on the optical path between the optical module 300 and the optical disc 200. The SIL 380 has a first surface 381 that is a plane and faces a substrate 201 of the optical disc 200 and is closely spaced therefrom, and a second surface 382 that is curved and faces the optical module 300.

The laser diode as a light source 110 in the apparatus is generally provided as a diode module having a protective window. That is, light diverging from a light-emitting diode chip passes through the protective window, and then enters into the SIL 380. Even though the protective window in the diode module has a thickness of only about 0.25 mm, it must be considered in the finite optical system of the second embodiment. Accordingly, the protective window is considered as a design factor when the second aspherical surface of the SIL 380 is designed, and Fig. 7 will be referred to hereinafter in an explanation thereof.

As shown in Fig. 7, an optical axis is a z-axis; a radial direction normal to the optical axis is an x-axis; the refractive indices of air, the protective window 390 of the laser diode, the SIL 380, and the substrate 201 of the optical disc are  $n_0$ ,  $n_1$ ,  $n_2$ , and  $n_3$ , respectively; the distance between

the laser diode and the protective window is  $t_{01}$ ; the thickness of the protective window is  $t_1$ ; the distance between the protective window and a vertex of the SIL is  $t_{02}$ ; the thicknesses of the SIL and the optical disc are  $t_2$  and  $t_3$ , respectively; the incident and refractive angles of the incident ray to the protective window are  $\phi_0$  and  $\phi_1$ , respectively; and the incident angles to the first surface of the SIL and the signal recording surface are  $\phi_2$  and  $\phi_3$ , respectively. It is further assumed that the optical paths of all rays that pass through the protective window 390, the SIL 380, and the substrate 201 and then enter the signal recording surface 202 are the same, and Snell's law of refraction are considered to obtain Formulas 13 and 14.

Accordingly, the second surface (z, x) of the SIL satisfies Formulas 13 and 14, allowing making a divergent beam a light spot. For the purpose of easy explanation, the formulas are expressed as two-dimensional equations, but those ordinarily skilled in the art may modify the formulas to be three-dimensional, simply by substituting  $x^2+y^2$  for  $x^2$ .

#### FORMULA 13

$$\phi_1 = \sin^{-1}\left(\frac{n_0}{n_1} \sin(\phi_0)\right), \phi_2 = \sin^{-1}\left(\frac{n_3}{n_2} \sin(\phi_3)\right)$$

#### FORMULA 14

$$x = (z - t_1) \tan(\phi_0) + t_1 \tan(\phi_1) = (t_{01} + t_{02} + t_1 + t_2 - z) \tan(\phi_2) + t_3 \tan(\phi_3)$$

## FORMULA 15

$$\frac{n_1 t_1}{\cos \phi_1} + \frac{n_0(z-t_1)}{\cos \phi_0} + \frac{n_2(t_0 + t_1 + t_2 - z)}{\cos \phi_2} + \frac{n_3 t_3}{\cos \phi_3} = n_0 t_0 + n_1 t_1 + n_2 t_2 + n_3 t_3$$

5 Formula 15 is rearranged to the following formula.

## FORMULA 16

$$\frac{n_0 t_0}{\cos \phi_0} + \frac{n_1 t_1}{\cos \phi_1} + \frac{n_0(x - t_0 \tan \phi_0 - t_1 \tan \phi_1)}{\sin \phi_0} + \frac{n_2(x - t_3 \tan \phi_3)}{\sin \phi_2} + \frac{n_3 t_3}{\cos \phi_3} = n_0 t_0 + n_1 t_1 + n_2 t_2 + n_3 t_3$$

Formulas 13 and 14, and 15 or 16, are rearranged to the following  
Formulas 17 to 19.

10 FORMULA 17

$$x = (z - t_1) \tan \phi_0 + t_1 \tan(\sin^{-1}(\frac{n_0}{n_1} \sin \phi_0))$$

## FORMULA 18

$$z = \frac{t_1(\tan \phi_0 - \tan \phi_1) + t_3 \tan \phi_3 + TX \tan \phi_2}{\tan \phi_0 + \tan \phi_2}$$

where  $TX = t_0 + t_1 + t_2 + t_2$ .

15 FORMULA 19

$$\frac{C0 - \frac{n1t1}{\cos\phi1} - \frac{n3t3}{\cos\phi3} + \frac{n0t1}{\cos\phi0} - \frac{n2TX}{\cos\phi2}}{\frac{n0}{\cos\phi0} - \frac{n2}{\cos\phi2}} = \frac{t1(\tan\phi0 - \tan\phi1) + t3\tan\phi3 + TX\tan\phi2}{\tan\phi0 + \tan\phi2}$$

where  $C0 = n0t01 + n1t1 + n0t02 + n2t2 + n3t3$ .

Accordingly,  $z$  in Formulas 18 and 19 may be represented by a function of  $\phi_0$  or  $\phi_1$ , so that  $x$  is expressed by a function of  $z$  only.

5 For example, in the case of  $n0=1.00$ ,  $n1=1.55$ ,  $n2=1.80$ ,  $n3=1.52$ ,  $t01 + t02 = 7.0$  mm, a thickness of the protective window  $t1=0.25$ mm,  $t2=1.5$ mm, and  $t3=1.2$ mm, the effective radius of the SIL is about 1.65 mm and the maximum effective numerical aperture  $NA_{\max}$  becomes about 1.38.

Another example is given for  $n0=1.0003$ ,  $n1=1.55$ ,  $n2=1.80$ ,  $n3=1.52$ ,  
 10  $t01+t02=7.0$  mm,  $t1=0.25$ mm,  $t2=1.5$ mm, and  $t3=0.6$ mm, wherein the effective radius of the SIL is about 1.19 mm and the maximum effective numerical aperture  $NA_{\max}$  becomes about 1.36. When the thickness of the optical disc  $t3=0.1$  and the other conditions are maintained, the effective radius is about 0.83 mm and the maximum effective numerical aperture  
 15  $NA_{\max}$  that may be obtained is about 1.34. In the case of  $t3=0.1$  mm and  $t2=1.8$  mm, ceteris paribus, the effective radius of the SIL is about 0.97 mm, and the effective numerical aperture is about 1.28.

It is therefore noted that the thicker the substrate of the optical disc, the larger the effective radius of the SIL, for a specific effective numerical

20 aperture.

The operation of the optical pickup of the second preferred embodiment will now be described. The light source 110 of a laser diode generates laser beams that pass through the protective window 390, a beamsplitter (not shown), and the SIL 180, and then enter the substrate 201 of the optical disc to be focused on the signal recording surface 202 of the optical disc. The focused light diffracts and reflects from the signal recording surface 202, and then enters a photodetector (not shown) through the SIL 180, similar to the description with respect to the first preferred embodiment. Further, since the optical pickup apparatus uses a direct divergent beam from the laser diode without any collimator lens, it may be more compact and light-weight.

Even if the above description is explained for perfect contact between the SIL and the optical disc, it is possible to adapt the description to the case in which an air gap may exist between the SIL and the optical disc, which ranges within a few wavelength of light, owing to the near-field effect.

Next, referring to Fig. 8, the optical module without any protective window (*i.e.*,  $t_1=0$ ; or the refractive index of the protective window is identical with that of air,  $n_1 = n_0$ ) before the SIL will be considered. When the refractive index of the substrate is identical to that of the SIL (*i.e.*,  $n_2=n_3$ ), the second surface of the SIL is a specific surface, a so-called Cartesian oval (See R.K.Luneburg, Mathematical Theory of Optics, pp.129-131).

Now, referring to Fig. 8, the Cartesian oval will be explained. Let a definite point (position of the light source) be an origin  $O$ , an optical path of a

ray from the origin in the region having a refractive index  $n0$  be  $r0$ , and an optical path in the region having a refractive index  $n1$  be  $r1$ . When the assumption that all optical paths of rays from the origin are the same is valid, the following equation is established. As in the aforementioned case, the equations are expressed as two-dimensional equations for the purpose of easy explanation, but those ordinarily skilled in the art may modify the formulas to be three-dimensional, simply by substituting  $x^2+y^2$  for  $x^2$ .

FORMULA 20

$$n0\sqrt{x^2+z^2}+n2\sqrt{x^2+(z-a)^2}=constant=n0A+n2(a-A)$$

10 FORMULA 21

$$r1=\sqrt{x^2+(z-a)^2}, r0=\sqrt{x^2+z^2}$$

The curved surface that satisfies Formulas 20 and 21 is called a Cartesian oval. When the thickness of the substrate is set to be  $t3$ , the thickness of the SIL  $t2$  becomes  $(a-A-t3)$ . Further, a lens holder for holding the SIL 180 supports its periphery at an area between a vertex on the plane normal to the optical axis and the substrate surface (hatched portion of Fig. 8), so that the effectiveness of the light may be maximized.

In the second preferred embodiment, when an optical disc such as a CD having a thickness of 1.2 mm is used, the refractive index of air  $n0$  is 1.0, and the refractive indices of the substrate 201 and the SIL 180 are both 1.50; and a distance  $A$  between the origin and the vertex, a distance  $a$  between the origin and the focus, and the maximum radius  $B$  of the Cartesian oval are



20.5 mm, 24 mm, and 1.513 mm, respectively. In this case, the numerical aperture Na becomes 1.047, resulting in a larger numerical aperture than that (1.0) of the conventional pickup apparatus of Figs. 6-7.

When an optical disc such as a DVD having a thickness of 0.6 mm is  
5 used, the refractive index of air  $n_0$  is 1.0, and the refractive indices of the substrate 201 and the SIL 180 are both 1.50; and a distance A between the origin and the vertex, a distance a between the origin and the focus, and the maximum radius B of the Cartesian oval are 16.9 mm, 18.98 mm, and 0.902 mm, respectively. In this case, the numerical aperture Na becomes 1.018,  
10 resulting in a larger numerical aperture than that (1.0) of the conventional pickup apparatus of Figs. 6-7.

Now, referring back to Fig. 6, a light source 110 of a laser diode generates a divergent laser beam, which passes through the beamsplitter (not shown), and then enters the SIL 180 and the substrate 201 of the optical  
15 disc 200 to focus on the signal recording surface 202. The focused light diffracts and reflects from the signal recording surface 202, and then enters a photodetector (not shown) through the SIL 180, similar to the description with respect to the first preferred embodiment. Further, since the optical pickup apparatus uses a direct divergent beam from the laser diode without any  
20 collimator lens, it may be more compact and light-weight.

In the first or second preferred embodiment, the first surface of the SIL is explained as an ideal plane. However, it is possible that the first surface is a plane that ranges within an effective radius, or any curved

surface (See Figs. 9a and 9b.). The effective radius  $r_{\text{eff}}$  is obtained by the following formula.

FORMULA 22

$$r_{\text{eff}} = t_{\text{substrate}} \tan \psi = t_{\text{substrate}} \tan \left[ \sin^{-1} \left( \frac{NA}{n_{\text{substrate}}} \right) \right]$$

- 5 where  $t_{\text{substrate}}$  is a thickness of the substrate of the optical disc,  $\psi$  is an incident angle of the optical disc, NA is an effective numerical aperture, and  $n_{\text{substrate}}$  is a refractive index of the substrate of the optical disc.

As described above, a plane surface is ideal and general within an effective radius. In a practical case, however, the continuous surface in  
10 which the difference between the highest point and the lowest point ranges within several wavelengths of the light is considered as a plane surface. Accordingly, a radius of curvature in the first surface is useful in a range as flows:

$$R - \sqrt{R^2 - r_{\text{eff}}^2} \leq \text{wavelength of the light}$$

- 15 The radius of curvature may be either positive as shown in Fig. 9a, or negative as shown in Fig. 9b.

For example, when a radius of the curve is 1000 mm and an effective radius is 1 mm, the difference between the highest point and the lowest point within the effective radius is 0.0005mm, so that the effective radius is suitable  
20 for a 650nm-wavelength system.

In practice, a curving surface rather than a flat surface is efficient and

precise in mass production using metal molding techniques. When the light enters into an air gap between the SIL and the optical disc with an angle of more than the critical angle of the total internal reflection, the light propagates with an electric field ratio  $e^{-bz}$  to the optical disc. Therefore, the larger the air gap, the less the light intensity on the disc. The attenuation coefficient  $b$  by the near-field effect is as follows:

FORMULA 23

$$b = 2\pi \sqrt{n_{SIL} \sin^2 \psi - 1}$$

where  $\psi$  is an incident angle of the ray that enters into the first surface 181 of the SIL.

When light enters into the air gap with an angle of less than the critical angle, the light refracts according to the general Snell's refraction law, similar with the above. Therefore, since a curved surface with a considerably large radius of curvature is approximate to an ideal plane, it may be substituted with the planar surface of the SIL, resulting in an advantage of easy manufacturing.

The optical pickup apparatus according to the present invention may enhance endurance of optical recording media as well as the apparatus, by reading or writing information while facing a substrate of the media.

The apparatus includes a single solid immersion lens as an objective lens system without any condenser objective lenses, resulting in a simple

and compact structure.

Further, since the light spot on the media may be reduced by the solid immersion lens having a numerical aperture of over 1.0, the apparatus may conform to high-density read/write heads.

5        It will be apparent to those skilled in the art that various modifications and variations can be made to the device of the present invention without departing from the spirit and scope of the invention. The present invention covers the modifications and variations of this invention provided they come within the scope of the appended claims and their equivalents.

**WHAT IS CLAIMED IS:**

1. An optical pickup apparatus for recording or reproducing data on a signal recording surface of a high-density optical medium that has the signal recording surface and at least one substrate, comprising:

5           an optical module for generating and emitting collimated beams and receiving reflected beams from the optical medium;

          a solid immersion lens (SIL), arranged on an optical path between the optical module and the optical medium, having a first surface being planar and facing the substrate of the optical medium, and a second surface being  
10   aspherical and facing the optical module, so that the SIL may be nearly in contact with the substrate of the optical medium,

          wherein the collimated beams from the optical module enter the SIL, and are then focused through the substrate onto the signal recording surface.

2. The apparatus as recited in claim 1, wherein when a z-axis represents an  
15   optical axis of the optical module and the SIL, and an x-axis represents a radial axis normal to the optical axis, the second surface of the SIL satisfies the following conditions:

$$z = \frac{n_1 t_1 \left(1 - \frac{1}{\cos(\sin^{-1}(nr \sin \theta_2))}\right) + n_2 t_2 \left(1 - \frac{1}{\cos \theta_2}\right)}{n_0 - \frac{n_1}{\cos(\sin^{-1}(nr \sin \theta_2))}}$$

$$x = t_2 \tan \theta_2 + \left(t_1 - \frac{n_1 t_1 \left(1 - \frac{1}{\cos(\sin^{-1}(nr \sin \theta_2))}\right) + n_2 t_2 \left(1 - \frac{1}{\cos \theta_2}\right)}{n_0 - \frac{n_1}{\cos(\sin^{-1}(nr \sin \theta_2))}}\right) \tan(\sin^{-1}(nr \sin \theta_2))$$

where  $n_0$ ,  $n_1$ , and  $n_2$  are refractive indices of air, the SIL, and the substrate  
 5 of the optical medium, respectively;

$\theta_2$  is an incident angle to the signal recording surface through the  
 SIL;

$nr$  is a ratio of the refractive index  $n_2$  of the substrate to the refractive  
 index  $n_1$  of the SIL ( $= n_2 / n_1$ ); and

10  $t_1$  and  $t_2$  are thicknesses of the SIL and the substrate, respectively.

3. The apparatus as recited in claim 1, wherein the SIL is made of an  
 optical material whose refractive index is identical to that of the substrate,  
 and the second surface of the SIL comprises an ellipsoidal surface.

4. The apparatus as recited in claim 3, wherein the ellipsoidal surface of the

second surface satisfies the following conditions regarding a semi-major axis A, a semi-minor axis B, and an eccentricity e:

$$A = a n_1 / (n_1 + n_0)$$

$$B = a \sqrt{((n_1 - n_0) / (n_1 + n_0))}$$

5 
$$e = a n_0 / (n_1 + n_0)$$

where  $a$  is a distance between a vertex and a focus on a major axis of the ellipsoidal surface;

$n_0$  and  $n_1$  are refractive indices of air and the substrate of the optical medium, respectively.

10 5. The apparatus as recited in claim 4, wherein a thickness of the SIL is  $(a-t)$  when a thickness of the substrate is  $t$ .

6. The apparatus as recited in claim 3, wherein the maximum value  $NA_{\max}$  of the effective numerical aperture of the SIL is given by the following equation:

15 
$$NA_{\max} = \sqrt{(n_1^2 - n_0^2)}$$

where  $n_0$  and  $n_1$  are refractive indices of air and the substrate of the optical medium, respectively.

7. The apparatus as recited in claim 1, further comprising:

a lens holder for holding the SIL at the vertex of a minor axis of the ellipsoidal surface of the second surface of the SIL, thereby maximizing light

20

efficiency.

8. An optical pickup apparatus for recording or reproducing data on a signal recording surface of a high-density optical medium that has the signal recording surface and at least one substrate, comprising:

5        an optical module comprising a light source, for generating and emitting divergent beams and receiving reflected beams from the optical medium;

         a solid immersion lens (SIL), arranged on an optical path between the optical module and the optical medium, having a first surface being planar  
10       and facing the substrate of the optical medium, and a second surface being aspherical and facing the optical module, the SIL being made of an optical material whose refractive index is identical to that of the substrate of the optical medium,

         wherein the divergent beams from the optical module enter the SIL,  
15       and are then focused through the substrate onto the signal recording surface.

9. The apparatus as recited in claim 8, further comprising:

         a transparent planar window in the optical module, so that the divergent beams pass through the window before the beams exit from the optical module,

20       wherein when a z-axis represents an optical axis of the optical module and the SIL, and an x-axis represents a radial axis normal to the optical axis,



the second surface of the SIL satisfies the following conditions:

$$x = (z - t_1) \tan \phi_0 + t_1 \tan \left( \sin^{-1} \left( \frac{n_0}{n_1} \sin \phi_0 \right) \right)$$

$$z = \frac{t_1 (\tan \phi_0 - \tan \phi_1) + t_3 \tan \phi_3 + TX \tan \phi_2}{\tan \phi_0 + \tan \phi_2}$$

$$\frac{C_0 - \frac{n_1 t_1}{\cos \phi_1} - \frac{n_3 t_3}{\cos \phi_3} + \frac{n_0 t_1}{\cos \phi_0} - \frac{n_2 TX}{\cos \phi_2}}{\frac{n_0}{\cos \phi_0} - \frac{n_2}{\cos \phi_2}} = \frac{t_1 (\tan \phi_0 - \tan \phi_1) + t_3 \tan \phi_3 + TX \tan \phi_2}{\tan \phi_0 + \tan \phi_2}$$

where  $n_0$ ,  $n_1$ ,  $n_2$ , and  $n_3$  are refractive indices of air, the window, the SIL,

5 and the substrate of the optical medium, respectively;

$t_1$ ,  $t_2$ , and  $t_3$  are thicknesses of the window, the SIL, and the substrate, respectively;

$t_{01}$  and  $t_{02}$  are distances between the light source and the window and between the window and the vertex of the SIL, respectively;

10  $\phi_0$  and  $\phi_1$  are an incident angle and a refractive angle of a ray entering the window, respectively;

$\phi_3$  is an incident angle of a ray entering the substrate; and

$TX = t_{01} + t_1 + t_{02} + t_2$ , and  $C_0 = n_0 t_{01} + n_1 t_1 + n_0 t_{02} + n_2 t_2 + n_3$

$t_3$ .

15 10. The apparatus as recited in claim 8, wherein the second surface of the

SIL is a Cartesian oval that is represented by the following equation:

$$n_0 \sqrt{(x^2+z^2)} + n_1 \sqrt{(x^2+(z-a)^2)} = n_0 A + n_1 (a-A)$$

where A is a distance between the light source and the vertex of the second surface of the SIL;

5        a is a distance between the light source and the focus of the second surface of the SIL; and

      n<sub>0</sub> and n<sub>1</sub> are refractive indices of air and the substrate of the optical medium, respectively.

11. The apparatus as recited in claim 10, wherein a thickness of the SIL is  
10 (a-A-t) when a thickness of the substrate is t.

12. The apparatus as recited in claim 8 or 10, further comprising:

      a lens holder for holding the SIL at the vertex of a minor axis of the second surface of the SIL, thereby maximizing the light efficiency.

13. The apparatus as recited in claim 1, wherein the first surface of the SIL  
15 comprises a planar surface within an effective radius  $r_{\text{eff}}$  that is defined as

$$r_{\text{eff}} = t_{\text{substrate}} \tan \psi = t_{\text{substrate}} \tan \left[ \sin^{-1} \left( \frac{NA}{n_{\text{substrate}}} \right) \right]$$

follows:

where  $t_{\text{substrate}}$  is a thickness of the substrate of the optical medium;

$\psi$  is an incident angle to the substrate of the optical medium;

NA is an effective numerical aperture; and

$n_{\text{substrate}}$  is a refractive index of the substrate of the optical medium.

14. The apparatus as recited in claim 1, wherein the first surface of the SIL  
 5 is not a perfect planar surface and it has a radius of curvature R that is defined as follows:

$$R - \sqrt{(R^2 - r_{\text{eff}}^2)} \leq \lambda$$

where  $\lambda$  is a wavelength of beams and  $r_{\text{eff}}$  is defined as follows:

$$r_{\text{eff}} = t_{\text{substrate}} \tan \psi = t_{\text{substrate}} \tan \left[ \sin^{-1} \left( \frac{NA}{n_{\text{substrate}}} \right) \right]$$

- 10 where  $t_{\text{substrate}}$  is a thickness of the substrate of the optical medium;

$\psi$  is an incident angle to the substrate of the optical medium;

NA is an effective numerical aperture; and

$n_{\text{substrate}}$  is a refractive index of the substrate of the optical medium.

- 15 15. The apparatus as recited in claim 8, wherein the first surface of the SIL  
 15 comprises a planar surface within an effective radius  $r_{\text{eff}}$  that is defined as follows:

$$r_{eff} = t_{substrate} \tan \psi = t_{substrate} \tan \left[ \sin^{-1} \left( \frac{NA}{n_{substrate}} \right) \right]$$

where  $t_{substrate}$  is a thickness of the substrate of the optical medium;

$\psi$  is an incident angle to the substrate of the optical medium;

NA is an effective numerical aperture; and

5  $n_{substrate}$  is a refractive index of the substrate of the optical medium.

16. The apparatus as recited in claim 8, wherein the first surface of the SIL is not a perfect planar surface and it has a radius of curvature R that is defined as follows:

$$R - \sqrt{R^2 - r_{eff}^2} \leq \lambda$$

10 where  $\lambda$  is a wavelength of beams and  $r_{eff}$  is defined as follows:

$$r_{eff} = t_{substrate} \tan \psi = t_{substrate} \tan \left[ \sin^{-1} \left( \frac{NA}{n_{substrate}} \right) \right]$$

where  $t_{substrate}$  is a thickness of the substrate of the optical medium;

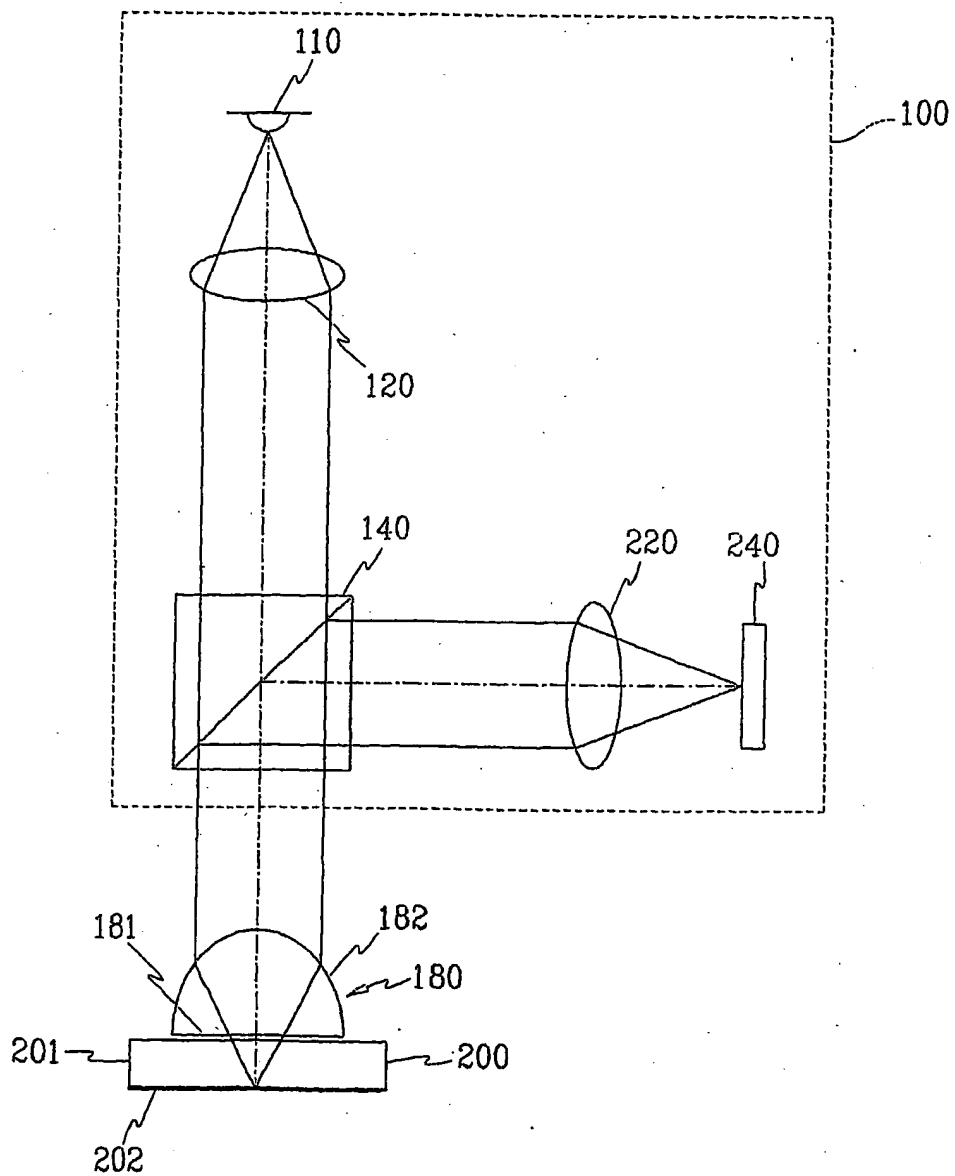
$\psi$  is an incident angle to the substrate of the optical medium;

NA is an effective numerical aperture; and

15  $n_{substrate}$  is a refractive index of the substrate of the optical medium.

1/10

FIG. 1



2/10

FIG. 2

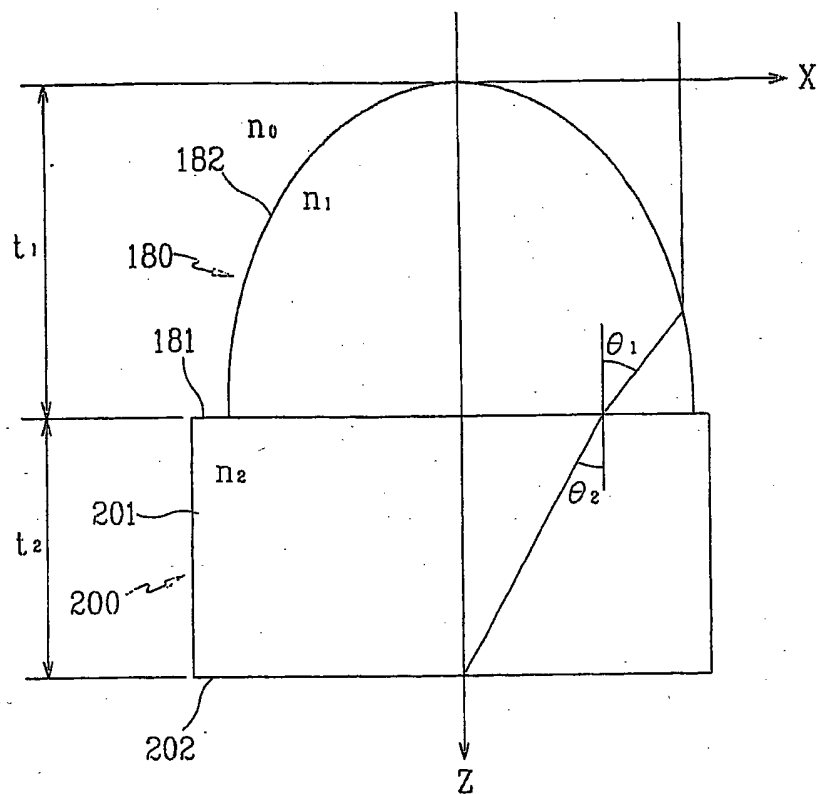
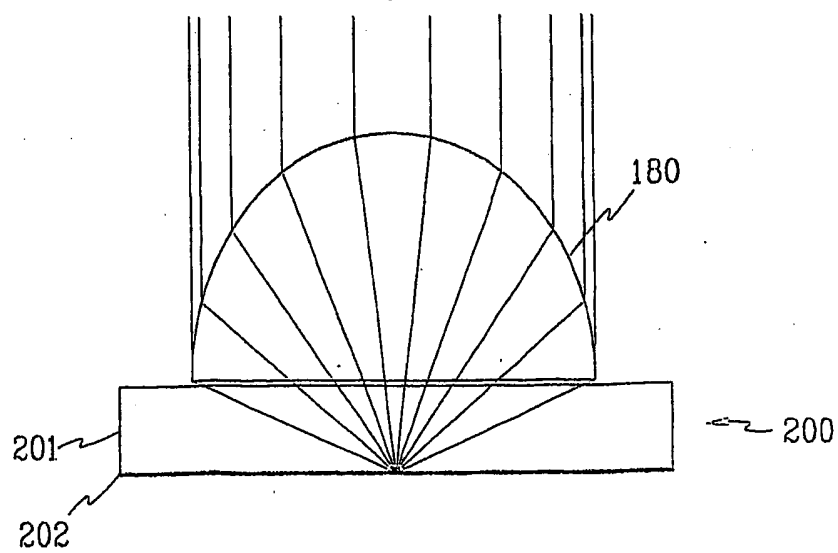
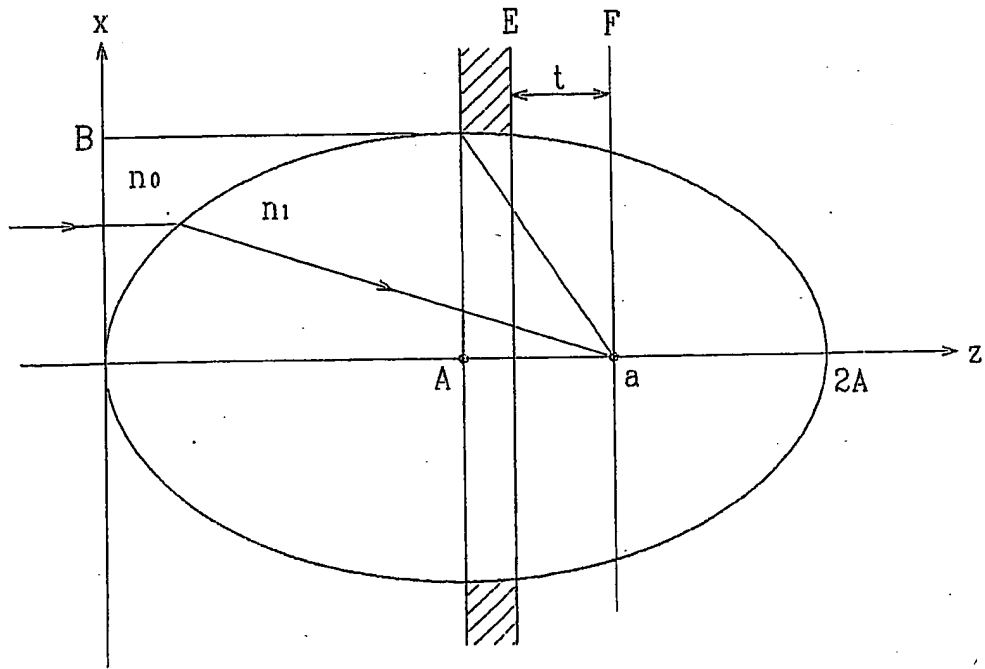


FIG. 3



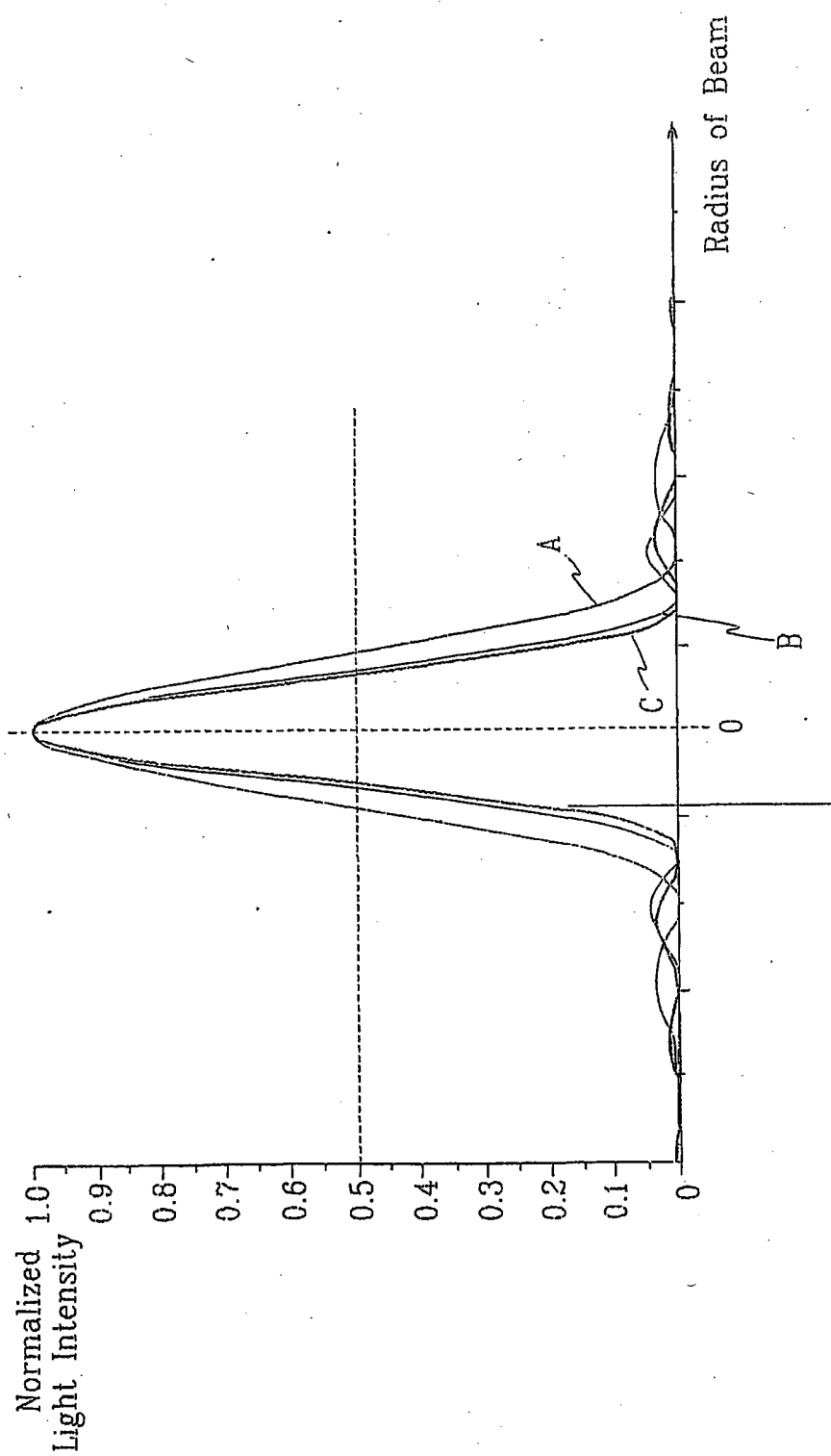
3/10

FIG. 4



4/10

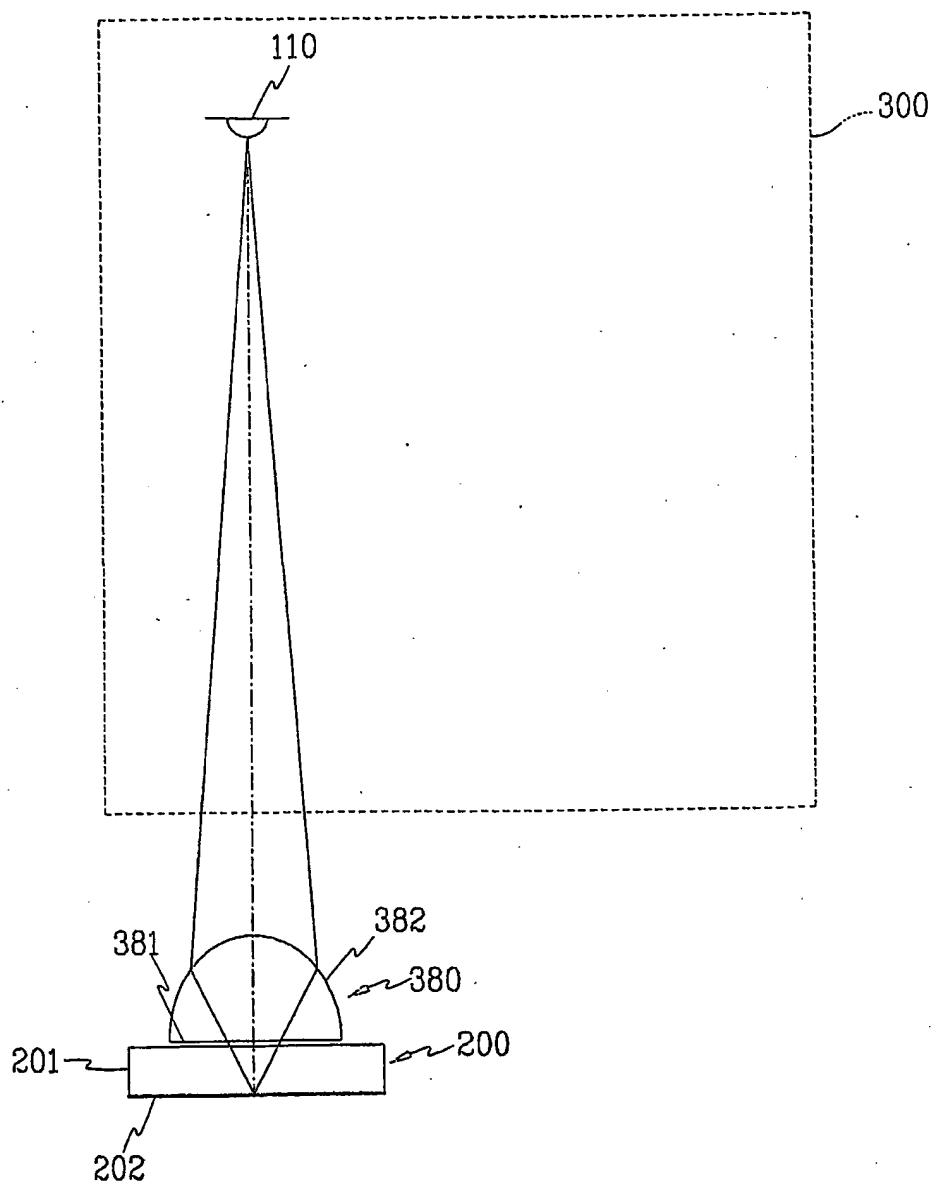
FIG.5





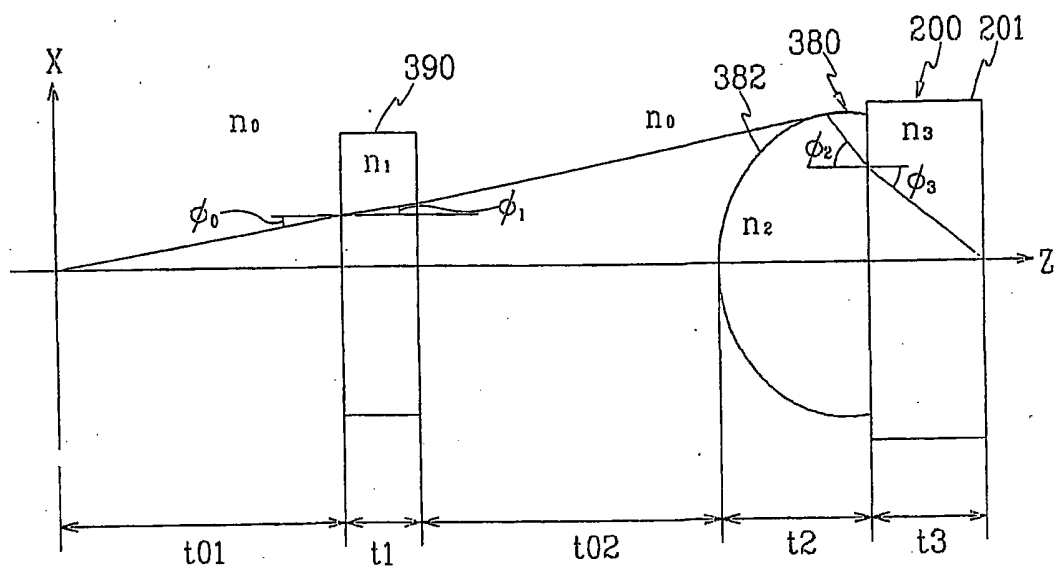
5/10

FIG. 6



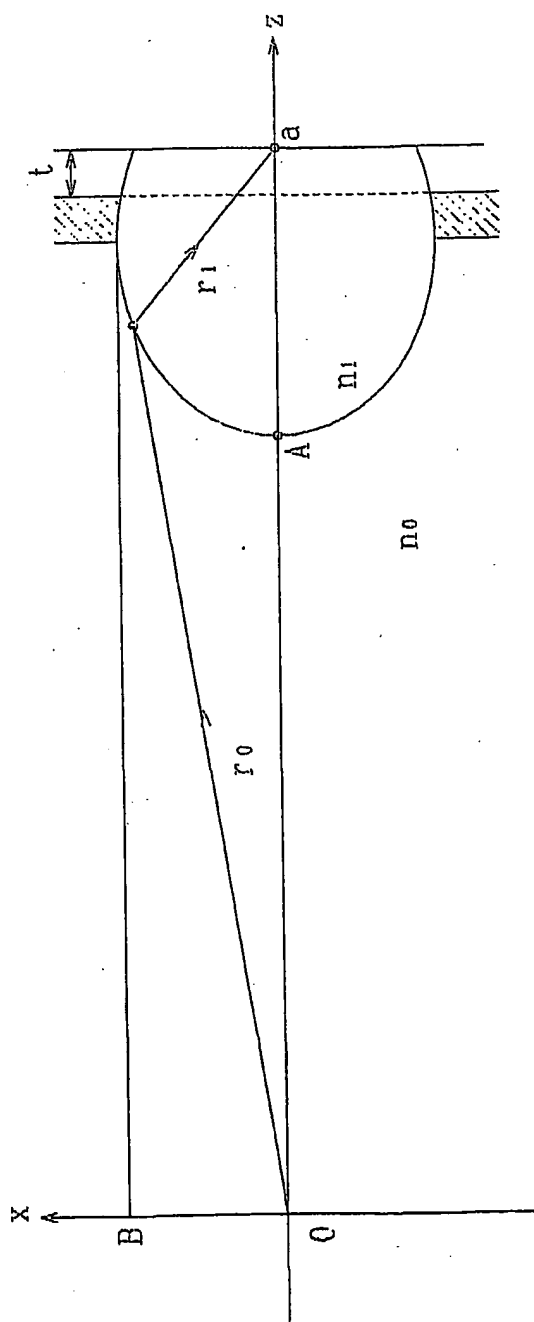
6/10

FIG. 7



7/10

FIG.8



8/10

FIG.9A

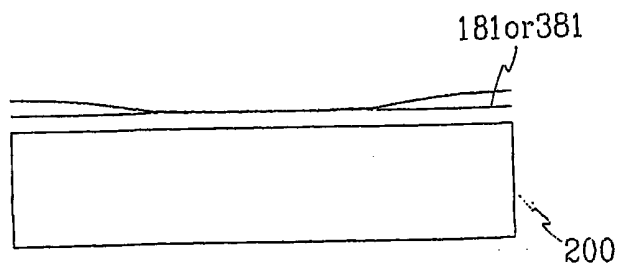
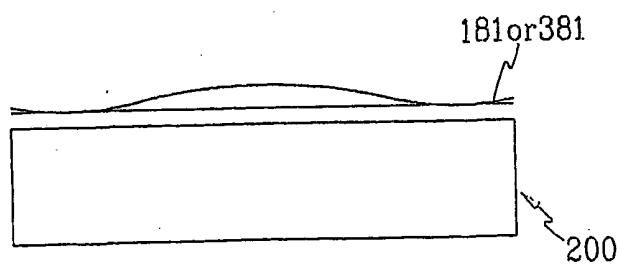
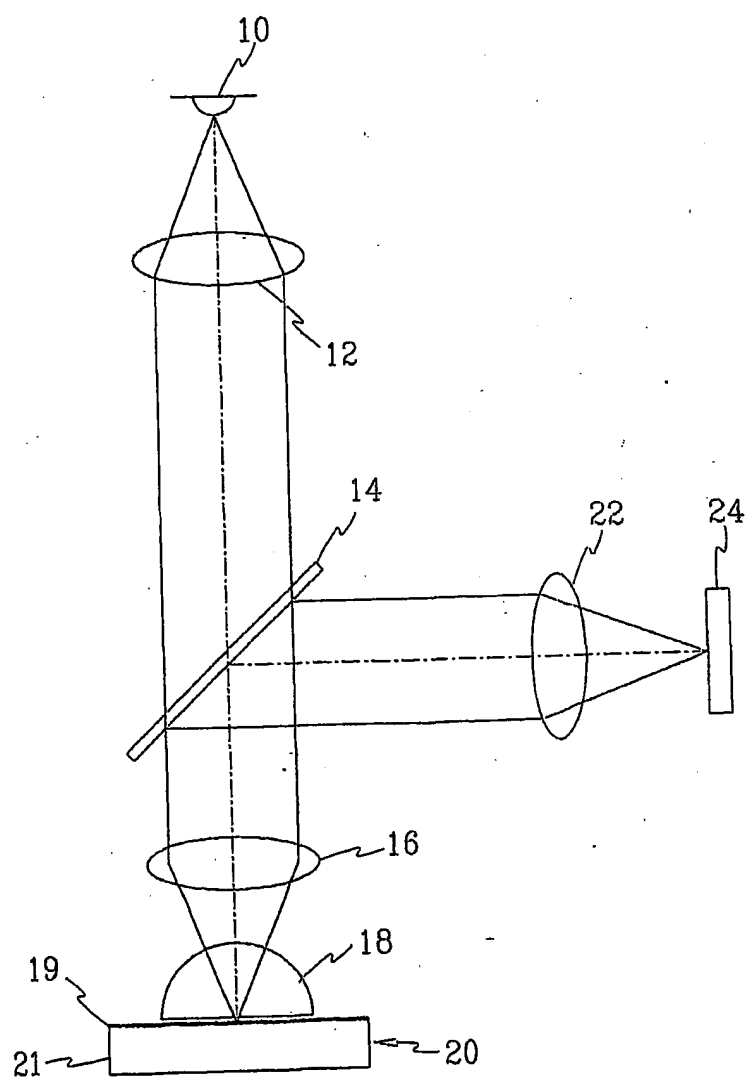


FIG.9B



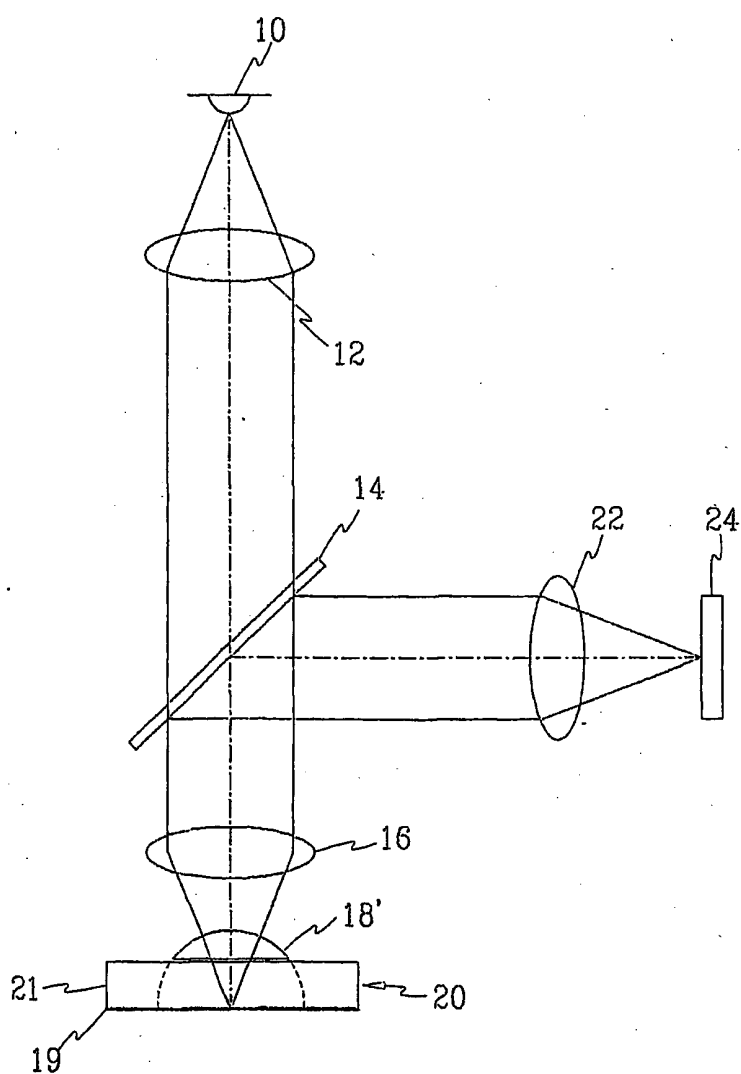
9/10

FIG.10



10/10

FIG. 11



## INTERNATIONAL SEARCH REPORT

International application No.

PCT/KR01/01943

**A. CLASSIFICATION OF SUBJECT MATTER****IPC7 G11B 7/135**

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

IPC7 G11B

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

KR. IPC as above

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

KIPASS : "pickup", "solid", "immersion", "lens", "disc"

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 953975 A2 (SAMSUNG ELECTRONICS CO., LTD.) 03 NOVEMBER 1999 See Abstract. claim1 and figure 5.	1
A	JP 11-045455 A (RICOH CO., LTD. ) 16 FEBRUARY 1999	1

☐ Further documents are listed in the continuation of Box C.☐ See patent family annex.

\* Special categories of cited documents:

"A" document defining the general state of the art which is not considered to be of particular relevance

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"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of citation or other special reason (as specified)

"O" document referring to an oral disclosure, use, exhibition or other means

"P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art

"&amp;" document member of the same patent family

Date of the actual completion of the international search

11 MARCH 2002 (11.03.2002)

Date of mailing of the international search report

12 MARCH 2002 (12.03.2002)

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